

# **Exhibit A**

# REDACTED

**From:** Jeff Kestler <[jk@gc.columbia.edu](mailto:jk@gc.columbia.edu)>  
**Date:** December 9, 2014 at 10:21:18 AM EST  
**To:** "general@lists.columbia.edu" <[general@lists.columbia.edu](mailto:general@lists.columbia.edu)>  
**Subject:** Columbia's Commitment to Compliance and Ethics--Compliance Hotline Brochure  
**Reply-To:** <[compliance@columbia.edu](mailto:compliance@columbia.edu)>

Dear Colleagues:

Columbia University is committed to operating with integrity in compliance with applicable laws, regulations, and policies. The University expects the highest standards of ethical conduct from the members of its community and is dedicated to upholding its reputation as one of the top academic and research institutions in the world.

Columbia expects members of the University community to inform the appropriate contacts if they have observed unethical, illegal, or suspicious activity. Those who have concerns about possible noncompliance with federal, state, or local laws and regulations or University policies are expected to report promptly. The University prohibits retaliation against individuals who report or seek guidance on possible ethical or compliance issues in good faith.

There are a number of resources available to individuals who have such a concern. You may be able to discuss the concern with a supervisor or another responsible person in your own school or department, or with one of the many specialized compliance offices around the University. Employees with concerns stemming from possible noncompliance or irregularities may also anonymously report them to the University Hotline. Compliance reports may be submitted 24 hours a day by phone at (866) 627-3768 or via the Internet. For more information about the hotline and to file a report online, please follow the links found at the University Compliance website at: [compliance.columbia.edu/hotline](http://compliance.columbia.edu/hotline)

Shortly, you will be receiving a hard copy of the Compliance Hotline Brochure, which provides a summary of this information. We encourage you to review it and seek guidance or report possible compliance issues.

We also encourage you to download, print, and post the Compliance Hotline flyer in your work area. Hard copies are available upon request at [compliance@columbia.edu](mailto:compliance@columbia.edu). For your reference, the full Non-Retaliation Policy can be found at [policylibrary.columbia.edu](http://policylibrary.columbia.edu).

Maintaining the highest standards of ethical conduct is integral to making Columbia a successful institution and a great place to work. In order to ensure our continued success, your active participation and support are required. Thank you in advance for your cooperation.

Sincerely,

*Jeff*

Jeffrey L. Kestler  
University Compliance Officer  
Associate General Counsel  
Office of the General Counsel  
Columbia University  
412 Low Memorial Library  
535 West 116th Street, MC4308  
New York, NY 10027  
T: 212-854-0780  
F: 212-854-5839  
E: [jk@gc.columbia.edu](mailto:jk@gc.columbia.edu)

\*\*\*\*\*

#### LEGAL NOTICE

This message (including any attachments) contains confidential information which may be legally privileged. If you are not the intended recipient of this message, you are hereby notified that any disclosure, copying, or distribution of this message, or the taking of any action based on its content, is strictly prohibited. If you received this message in error, please immediately notify the sender by e-mail and delete this message from your system. Thank you.

\*\*\*\*\*